

State of Hawaii  
Department of Human Services  
Office of Youth Services

## **Request for Proposals**

**RFP Number: HMS-501-06-05**

### **Drug and Violence Prevention Activities for Youth**

March 17, 2006

Note: If this RFP was downloaded from the State Procurement Office RFP Website each applicant must provide contact information to the RFP contact person for this RFP to be notified of any changes. For your convenience, an [RFP Interest form](#) may be downloaded to your computer, completed and e-mailed or mailed to the RFP contact person. The State shall not be responsible for any missing addenda, attachments or other information regarding the RFP if a proposal is submitted from an incomplete RFP.

March 17, 2006

## **REQUEST FOR PROPOSALS**

### **DRUG AND VIOLENCE PREVENTION ACTIVITIES FOR YOUTH RFP NUMBER: HMS-501-06-05**

The Department of Human Services (DHS), Office of Youth Services (OYS) is requesting proposals from qualified applicants to provide science-based drug and violence prevention services for youth. Eligible applicants include schools, community-based organizations (including community anti-drug coalitions), other public entities and private organizations, and consortia of these agencies.

The contract term will commence on or after July 1, 2006 through October 31, 2007, and may be extended for an additional 12 months, contingent upon program performance and the availability of funds. Multiple contracts will be awarded under this request for proposals.

The original and 3 copies of the proposal shall be mailed and postmarked by the United States Postal Service (USPS) on or before midnight, Hawaii Standard Time (H.S.T.) April 18, 2006, or hand delivered no later than 4:30 p.m., Hawaii Standard Time (HST), on April 18, 2006, at the drop-off site designated on the Proposal Mail-in and Delivery Information Sheet. Proposals postmarked or hand delivered after the submittal deadline shall be considered late and rejected. Deliveries by private mail services such as Federal Express (FedEx) and United Postal Service (UPS) shall be considered hand deliveries. There are no exceptions to this requirement.

The Office of Youth Services will conduct an orientation on Thursday March 30, 2006 from 1:30 p.m. to 3:30 p.m. HST, at Haseko Center, 820 Mililani Street, Room 615 (Conference Room #2), Honolulu, Hawaii. All prospective applicants are encouraged to attend the orientation.

The deadline for submission of written questions is 12:00 midnight HST, on March 31, 2006. All written questions submitted by March 31, 2006 will receive a written response from the State on or about April 6, 2006.

Inquiries regarding this RFP should be directed to the RFP contact person, Dixie Thompson, Office of Youth Services, 820 Mililani Street, Suite 817, telephone: (808) 587-5700 or (808)587-5718, fax: (808) 587-5734, e-mail: [dthompson@dhs.hawaii.gov](mailto:dthompson@dhs.hawaii.gov).

## **PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET**

**ONE ORIGINAL AND THREE (3) COPIES OF THE PROPOSAL ARE TO BE SUBMITTED.**

**ALL MAIL-INS MUST BE POSTMARKED BY UNITED STATES POSTAL SERVICE (USPS) BEFORE 12:00 MIDNIGHT, HAWAII STANDARD TIME (H.S.T.) ON APRIL 18, 2006**

### **All Mail-ins and Hand Deliveries**

Department of Human Services  
Office of Youth Services  
820 Mililani Street, Suite 817  
Honolulu, Hawaii 96813

### **RFP COORDINATOR**

Dixie Thompson  
For further info. or inquiries  
Phone: 808-587-5700  
Fax: 808-587-5734

**ALL HAND DELIVERIES WILL BE ACCEPTED AT THE FOLLOWING SITE UNTIL 4:30 P.M., HAWAII STANDARD TIME (HST) APRIL 18, 2006.**

DEPARTMENT OF HUMAN SERVICES  
OFFICE OF YOUTH SERVICES  
820 MILILANI STREET, SUITE 817  
HONOLULU, HAWAII 96813

**BE ADVISED:** All mail-ins postmarked by USPS after **12:00 midnight, H.S.T., April 18, 2006**, will be rejected.

Hand deliveries will **not** be accepted after **4:30 p.m., HST, April 18, 2006**.

Deliveries by private mail services such as FEDEX shall be considered hand deliveries and will not be accepted if received after **4:30 p.m., HST, April 18, 2006**.

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# **Section 1**

## **Administrative Overview**

# Section 1

## Administrative Overview

**Applicants are encouraged to read each section of the RFP thoroughly. While sections such as the administrative overview may appear similar among RFPs, state purchasing agencies may add additional information as applicable. It is the responsibility of the applicant to understand the requirements of *each* RFP.**

### I. Procurement Timetable

**Note that the procurement timetable represents the State's best estimated schedule. Contract start dates may be subject to the issuance of a notice to proceed.**

<b>Activity</b>	<b>Scheduled Date</b>
Public notice announcing RFP	3/17/06
Distribution of RFP	3/17/06
RFP orientation session	3/30/06
Closing date for submission of written questions for written responses	3/31/06
State purchasing agency's response to applicants' written questions	4/5/06-4/7/06
Discussions with applicant prior to proposal submittal deadline (optional)	3/06 – 4/06
Proposal submittal deadline	4/18/06
Discussions with applicant after proposal submittal deadline (optional)	4/06 – 9/06
Final revised proposals (optional)	4/06 – 5/06
Proposal evaluation period	4/06 – 6/06
Provider selection	5/06-7/06
Notice of statement of findings and decision	5/06-7/06
Contract start date	5/06 – 9/06

## II. Website Reference

The State Procurement Office (SPO) website is [www.spo.hawaii.gov](http://www.spo.hawaii.gov)

	For	Click
1	Procurement of Health and Human Services	"Health and Human Services, Chapter 103F, HRS..."
2	RFP website	"Health and Human Services, Ch. 103F..." and "RFPs"
3	Hawaii Administrative Rules (HAR) for Procurement of Health and Human Services	"Statutes and Rules" and "Procurement of Health and Human Services"
4	Forms	"Health and Human Services, Ch. 103F..." and "For Private Providers" and "Forms"
5	Cost Principles	"Health and Human Services, Ch. 103F..." and "For Private Providers" and "Cost Principles"
6	Standard Contract -General Conditions	"Health and Human Services, Ch. 103F..." "For Private Providers" and "Contract Template – General Conditions"
7	Protest Forms/Procedures	"Health and Human Services, Ch. 103F..." and "For Private Providers" and "Protests"

### Non-SPO websites

(Please note: website addresses may change from time to time. If a link is not active, try the State of Hawaii website at [www.hawaii.gov](http://www.hawaii.gov))

	For	Go to
8	Tax Clearance Forms (Department of Taxation Website)	<a href="http://www.hawaii.gov/tax/">http://www.hawaii.gov/tax/</a> click "Forms"
9	Wages and Labor Law Compliance, Section 103-055, HRS, (Hawaii State Legislature website)	<a href="http://www.capitol.hawaii.gov/">http://www.capitol.hawaii.gov/</a> , click "Bill Status and Documents" and "Browse the HRS Sections."
10	Department of Commerce and Consumer Affairs, Business Registration	<a href="http://www.hawaii.gov/dcca">http://www.hawaii.gov/dcca</a> click "Business Registration"

## III. Authority

This RFP is issued under the provisions of the Hawaii Revised Statutes (HRS), Chapter 103F and its administrative rules. All prospective applicants are charged with presumptive knowledge of all requirements of the cited authorities. Submission of a valid executed proposal by any prospective applicant shall constitute admission of such knowledge on the part of such prospective applicant.

## IV. RFP Organization

This RFP is organized into five sections:



**Section 1, Administrative Overview**--Provides applicants with an overview of the procurement process.

**Section 2, Service Specifications**--Provides applicants with a general description of the tasks to be performed, delineates applicant responsibilities, and defines deliverables (as applicable).

**Section 3, Proposal Application Instructions**--Describes the required format and content for the proposal application.

**Section 4, Proposal Evaluation**--Describes how proposals will be evaluated by the state purchasing agency.

**Section 5, Attachments** --Provides applicants with information and forms necessary to complete the application.

## **V. Contracting Office**

The Contracting Office is responsible for overseeing the contract(s) resulting from this RFP, including system operations, fiscal agent operations, and monitoring and assessing provider performance. The Contracting Office is:

**Department of Human Services  
Office of Youth Services  
820 Mililani Street, Suite 817  
Honolulu, Hawaii 96813  
Phone: 808-587-5700  
Fax: 808-587-5734**

## **VI. Orientation**

An orientation for applicants in reference to the request for proposals will be held as follows:

**Date:** March 30, 2006      **Time:** 1:30 p.m. to 3:30 p.m.  
**Location:** Haseko Center  
820 Mililani Street, Room 615  
Honolulu, Hawaii

Applicants are encouraged to submit written questions prior to the orientation. Impromptu questions will be permitted at the orientation and spontaneous answers provided at the state purchasing agency's discretion. However, answers provided at the orientation are only intended as general direction and may not represent the state purchasing agency's position. Formal official responses will be provided in writing. To ensure a written response, any oral questions should be submitted in writing following the close of the

orientation, but no later than the submittal deadline for written questions indicated in the next paragraph (VII. Submission of Questions).

## **VII. Submission of Questions**

Applicants may submit questions to the RFP Contact Person identified in Section 2 of this RFP. All written questions will receive a written response from the OYS. Deadline for submission of written questions:

**Date:** March 31, 2006      **Time:** 12:00 Midnight HST

State agency responses to applicant written questions will be provided by:

**Date:** April 5, 2006 – April 7, 2006

## **VIII. Submission of Proposals**

**A. Forms/Formats** - Forms, with the exception of program specific requirements, may be found on the State Procurement Office website (See page 1-2, Websites Referred to in this RFP. Refer to the Proposal Application Checklist for the location of program specific forms.

- 1. Proposal Application Identification (Form SPO-H-200)** - Provides identification of the proposal.
- 2. Proposal Application Checklist** – Provides applicants with information on where to obtain the required forms; information on program specific requirements; which forms are required and the order in which all components should be assembled and submitted to the state purchasing agency.
- 3. Table of Contents** - A sample table of contents for proposals is located in Section 5, Attachments. This is a sample and meant as a guide. The table of contents may vary depending on the RFP.
- 4. Proposal Application (Form SPO-H-200A)** - Applicant shall submit comprehensive narratives that addresses all of the issues contained in the Proposal Application Instructions, including a cost proposal/budget if required. (Refer to Section 3 of this RFP.)
- 5. Tax Clearance** – A certified copy of a current valid tax clearance certificate issued by the State of Hawaii, Department of Taxation (DOTAX) and the Internal Revenue Service (IRS) will be required either at the time of proposal submittal or upon notice of award at the discretion of the purchasing agency.

Refer to Section 4, subparagraph III.A.1, Administrative Requirements, and the Proposal Application Checklist (located in Section 5) to determine whether the tax clearance is required at time of proposal submittal for this RFP. Tax clearance application may be obtained from the Department of Taxation website. (See paragraph II, Website Reference.)

- B. Program Specific Requirements** - Additional program specific requirements are included in Sections 2 and/or 3, Service Specifications and the Proposal Application Instructions, as applicable. If Federal and/or State certifications are required, they are listed on the Proposal Application Checklist located in Section 5.
- C. Multiple or Alternate Proposals** - Multiple or alternate proposals shall not be accepted unless specifically provided for in Section 2 of this RFP. In the event alternate proposals are not accepted and an applicant submits alternate proposals, but clearly indicates a primary proposal, it shall be considered for award as though it were the only proposal submitted by the applicant.
- D. Wages and Labor Law Compliance** - Before a provider enters into a service contract in excess of \$25,000, the provider shall certify that it complies with section 103-55, HRS, Wages, hours, and working conditions of employees of contractors performing services. Section 103-55, HRS may be obtained from the Hawaii State Legislature website. (See paragraph II, Website Reference.)
- E. Compliance with all Applicable State Business and Employment Laws.** All providers shall comply with all laws governing entities doing business in the State. Prior to contracting, owners of all forms of business doing business in the state except sole proprietorships, charitable organizations unincorporated associations and foreign insurance companies be register and in good standing with the Department of Commerce and Consumer Affairs (DCCA), Business Registration Division. Foreign insurance companies must register with DCCA, Insurance Division. More information is on the DCCA website. (See paragraph II, Website Reference.)
- F. Campaign Contributions by State and County Contractors.** Contractors are hereby notified of the applicability of Section 11-205.5, HRS, which states that campaign contributions are prohibited from specified State or county government contractors during the term of the contract if the contractors are paid with funds appropriated by a legislative body. For more information, Act 203/2005 FAQs are

available at the Campaign Spending Commission webpage. (See paragraph II, Website Reference.)

- G. Confidential Information** – If an applicant believes any portion of a proposal contains information that should be withheld as confidential, the applicant shall request in writing nondisclosure of designated proprietary data to be confidential and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate eventual public inspection of the non-confidential sections of the proposal.

**Note that price is not considered confidential and will not be withheld.**

- H. Proposal Submittal** - Proposals must be postmarked by USPS and received within ten days of the date designated on the Proposal mail-In and Deliver information sheet or hand delivered by the date and time designated on the Proposal Mail-In and Delivery Information Sheet attached to this RFP. Proposals shall be rejected when:

- Postmarked after the designated date; or
- Postmarked by the designated date but not received within 10 days; or
- If hand delivered, received after the designated date and time.

The number of copies required is located on the Proposal Mail-In and Delivery Information Sheet. Deliveries by private mail services such as FEDEX shall be considered hand deliveries and shall be rejected if received after the submittal deadline. Dated USPS shipping labels are not considered postmarks. Faxed proposals and/or submission of proposals on diskette/CD or transmission by email, website or other electronic means is **not permitted**.

## **IX. Discussions with Applicants**

- A. Prior to Submittal Deadline.** Discussions may be conducted with potential applicants to promote understanding of the purchasing agency's requirements.
- B. After Proposal Submittal Deadline** - Discussions may be conducted with applicants whose proposals are determined to be reasonably susceptible of being selected for award, but proposals may be accepted without discussions, in accordance section 3-143-403, HAR.

## **X. Opening of Proposals**

Upon receipt of proposal by a state purchasing agency at a designated location, proposals, modifications to proposals, and withdrawals of proposals shall be date-stamped, and when possible, time-stamped. All documents so received shall be held in a secure place by the OYS and not examined for evaluation purposes until the submittal deadline.

Procurement files shall be open to public inspection after a contract has been awarded and executed by all parties.

## **XI. Additional Materials and Documentation**

Upon request from the OYS, each applicant shall submit any additional materials and documentation reasonably required by the state purchasing agency in its evaluation of the proposals.

## **XII. RFP Amendments**

The State reserves the right to amend this RFP at any time prior to the closing date for the final revised proposals.

## **XIII. Final Revised Proposals**

The applicant's final revised proposal, *as applicable* to this RFP, must be postmarked by the date and time specified by the OYS and received within ten days or hand delivered by the date and time specified by the state purchasing agency. Final revised proposals shall be rejected when:

- Postmarked after the designated date; or
- Postmarked by the designated date but not received within ten days or
- If hand carried, received after the designated date and time.

If a final revised proposal is not submitted, the previous submittal shall be construed as their best and final offer/proposal. *The applicant shall submit only the section(s) of the proposal that are amended, along with the Proposal Application Identification Form (SPO-H-200).* After final revised proposals are received, final evaluations will be conducted for an award.

## **XIV. Cancellation of Request for Proposal**

The request for proposal may be canceled and any or all proposals may be rejected in whole or in part, when it is determined to be in the best interests of the State.

**XV. Costs for Proposal Preparation**

Any costs incurred by applicants in preparing or submitting a proposal are the applicants' sole responsibility.

**XVI. Provider Participation in Planning**

Provider participation in a state purchasing agency's efforts to plan for or to purchase health and human services prior to the state purchasing agency's release of a request for proposals, including the sharing of information on community needs, best practices, and providers' resources, shall not disqualify providers from submitting proposals if conducted in accordance with sections 3-142-202 and 3-142-203 of the Hawaii Administrative Rules for Chapter 103F, HRS.

**XVII. Rejection of Proposals**

The State reserves the right to consider as acceptable only those proposals submitted in accordance with all requirements set forth in this RFP and which demonstrate an understanding of the problems involved and comply with the service specifications. Any proposal offering any other set of terms and conditions contradictory to those included in this RFP may be rejected without further notice.

A proposal may be automatically rejected for any one or more of the following reasons: (Relevant sections of the Hawaii Administrative Rules for Chapter 103F, HRS, are parenthesized)

- (1) Rejection for failure to cooperate or deal in good faith. (Section 3-141-201, HAR)
- (2) Rejection for inadequate accounting system. (Section 3-141-202, HAR)
- (3) Late proposals (Section 3-143-603, HAR)
- (4) Inadequate response to request for proposals (Section 3-143-609, HAR)
- (5) Proposal not responsive (Section 3-143-610 (1), HAR)
- (6) Applicant not responsible (Section 3-143-610 (2), HAR)

**XVIII. Notice of Award**

A statement of findings and decision shall be provided to all applicants by mail upon completion of the evaluation of competitive purchase of service proposals.

Any agreement arising out of this solicitation is subject to the approval of the Department of the Attorney General as to form, and to all further approvals, including the approval of the Governor, required by statute, regulation, rule, order or other directive.

No work is to be undertaken by the awardee prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official starting date.

## **XIX. Protests**

Any applicant may file a protest against the awarding of the contract. The Notice of Protest form, SPO-H-801, is available on the SPO website. (See paragraph II, Website Reference.) Only the following matters may be protested:

- (1) A state purchasing agency's failure to follow procedures established by Chapter 103F of the Hawaii Revised Statutes;
- (2) A state purchasing agency's failure to follow any rule established by Chapter 103F of the Hawaii Revised Statutes; and
- (3) A state purchasing agency's failure to follow any procedure, requirement, or evaluation criterion in a request for proposals issued by the state purchasing agency.

The Notice of Protest shall be postmarked by USPS or hand delivered to 1) the head of the state purchasing agency conducting the protested procurement and 2) the procurement officer who is conducting the procurement (as indicated below) within five working days of the postmark of the Notice of Findings and Decision sent to the protestor. Delivery services other than USPS shall be considered hand deliveries and considered submitted on the date of actual receipt by the state purchasing agency.

<b>Head of State Purchasing Agency</b>	<b>Procurement Officer</b>
Name: Sharon L. Agnew	Name: Martha T. Torney
Title: Executive Director	Title: Program Development Officer
Mailing Address: 820 Mililani Street, Suite 817 Honolulu, HI 96813	Mailing Address: 820 Mililani Street, Suite 817 Honolulu, HI 96813
Business Address: Same as above.	Business Address: Same as above.

**XX. Availability of Funds**

The award of a contract and any allowed renewal or extension thereof, is subject to allotments made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, HRS, and subject to the availability of State and/or Federal funds.

**XXI. Monitoring and Evaluation**

The criteria by which the performance of the contract will be monitored and evaluated are:

- (1) Performance/Outcome Measures
- (2) Output Measures
- (3) Quality of Care/Quality of Services
- (4) Financial Management
- (5) Administrative Requirements

**XXII. General and Special Conditions of Contract**

The general conditions that will be imposed contractually are on the SPO website. (See paragraph II, Website Reference). Special conditions that will be imposed contractually by the state purchasing agency, are in Section 5-Attachments.

**XXIII. Cost Principles**

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under Chapter 103F, HRS, state purchasing agencies will utilize standard cost principles outlined in Form SPO-H-201 which is available on the SPO website (see paragraph II, Website Reference). Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.



# **Section 2**

## **Service Specifications**

## Section 2

# Service Specifications

### I. Introduction

#### A. Overview, purpose or need

No Child Left Behind Act (NCLB) of 2001, Public Law 107-110 reauthorized the Elementary and Secondary Education Act of 1965 (ESEA) (see <http://www.ed.gov/policy/elsec/leg/esea02/index.html>). The Safe and Drug-Free Schools and Communities Act (SDFSCA) Title IV, Part A, Subpart 1 of the ESEA provides State Grants to support programs that: 1) prevent violence in and around schools; 2) prevent the illegal use of alcohol, tobacco, and drugs; 3) involve parents and communities; and 4) coordinate with related Federal, State, school, and community efforts and resources to foster a safe and drug-free learning environments that promotes student academic achievement.

The SDFSCA State Grants Governors' program provides support to parent groups, community-based organizations, and other public and private nonprofit entities for drug and violence prevention activities focused primarily on school-age youth that complement the State education agency (SEA) and local education agency (LEA) portion of the Safe and Drug-Free Schools and Communities Program. The program authorizes utilization of a variety of activities designed to prevent school violence and youth drug use and to help schools and communities create safe, disciplined and drug-free environments that support student academic achievement.

The SDFSCA funds shall be utilized to develop, implement, and evaluate comprehensive programs and activities, which are coordinated with schools and other community-based services and programs that shall:

- 1) Foster a safe and drug-free environment that supports academic achievement;
- 2) Be consistent with the Principles of Effectiveness
- 3) Be designed to prevent or reduce violence; the use, possession, and distribution of illegal drugs; and delinquency;
- 4) Include meaningful and ongoing consultation with and input from parents in the development of applications and administration of programs and activities and include activities to promote the involvement of parents in the program; and
- 5) Promote coordination among schools, community groups and coalitions, and government agencies.

The goal of the SDFSCA Governor's program is to prevent drug use and violence among youth in communities. To this end, the following services may be funded by this RFP:

- 1) Implementation of drug and violence prevention activities that complement and support authorized LEA activities including developing and implementing activities to prevent and reduce violence associated with prejudice and intolerance;
- 2) Dissemination of information about drug and violence prevention; and
- 3) Development and implementation of community-wide drug and violence prevention planning and organizing.

**B. Planning activities conducted in preparation for this RFP**

The Hawaii Department of Education submitted a Consolidated State Application that set out objectives and performance measures to achieve safe, drug free schools and communities as required to receive the SDFSCA State Grant. A Request for Information (RFI) was posted on the Hawaii State Procurement Office (SPO) website where parent groups, community-based organizations, public and private nonprofit entities and interested others were encouraged to provide comments, suggestions, and/or recommendations on the relevant aspects of the State Plan that would shape the development of this RFP. In addition, the *Draft Guidance for State and Local Implementation of Programs*, January 2004, from the U.S. Department of Education, Office of Safe and Drug-Free Schools directed the development of the service request and requirements to comply with Title IV, Part A, Subpart 1, Elementary and Secondary Education Act of 1965 as amended by the No Child Left Behind Act of 2001, Public Law 107- 110, Safe and Drug-Free Schools and Communities Act State Grants, and available for viewing at <http://www.ed.gov/programs/dvpgovgrants/index.html>. Further information related to the risk and protective factors and community profiles was obtained from data compiled by the University of Hawaii, Center on the Family ([www.uhfamily.edu](http://www.uhfamily.edu)).

**C. Description of the goals of the service**

The SDFSCA program desires for all youth to be educated in learning environments that are safe, drug-free and conducive to learning. The goal of this service is to prevent school violence and drug use by youth and to help schools and communities create safe, disciplined and drug-free environments that support student academic achievement. This RFP intends to provide funding to help communities reduce and prevent drug use and violence among youth by educating and mobilizing communities, filling in gaps in prevention services, and implementing best practices. Services shall include ongoing activities and/or coordinated series of activities. Projects and services that demonstrate a clear substance abuse and violence prevention education component will receive priority consideration for funding.

**D. Description of the target population to be served**

The target population consists of youth, ages 10 to 19, who are at risk for violence, substance abuse and/or criminal activity due to geographic, ethnic, or socioeconomic factors; youth between the ages of 10 to 19 years old who have been arrested, have had contact with the police, or are experiencing social, emotional, psychological, educational, moral, physical or similar problems; and/or youth of Samoan, Hawaiian, Filipino and African-American ancestry who are over-represented within the juvenile justice system.

Additionally, priority will be given to programs and activities that prevent drug use and violence for children and youth who are not normally served by the SEA/LEA and populations that need special services or additional resources, such as youth in juvenile detention facilities, runaway or homeless children and youth, pregnant and parenting teenagers, English as Second Language (ESL) or immigrant students, and school dropouts.

**E. Geographic coverage of service**

The service area is intended to be statewide; however, services need not be provided by one agency. Awards will be made based on available data and needs presented for specific geographic areas, such as school complexes defined by the Hawaii Department of Education, in relation to the services proposed to meet those specific needs for that local area. The specific number of awards has not been determined for any geographic area. Should an inadequate number of responsive and responsible proposals be submitted or should sufficient monies be available, OYS reserves the right to allocate additional funds to those applicants who have submitted acceptable proposals.

**F. Probable funding amounts, source, and period of availability**

While no specific funding amounts have been pre-determined, the OYS anticipates award amounts to be approximately \$50,000.00 – \$100,000.00. Each award will result in a one time 16-month contract, which will cover two separate budget periods as funding for each separate budget period is covered by a different grant award. Applicants should propose a budget for each budget period which may be for varying amounts based on varying services and/or stages of program implementation.

**Funding Period:** 7/1/06 – 11/30/07

**Contract Budget Periods:** 7/1/06 – 11/30/06 and 12/1/06 – 10/31/07

**Approximate Total Amount of Federal Funds:** \$806,000.00

**Source of Federal Funds: C.F.D.A. Number:** 84.186B [www.cdfa.gov](http://www.cdfa.gov)

There may be a possibility for an extension of the initial award period up to an additional 12 months should funds become available. The award of a contract and any allowed renewal or extension thereof, is subject to allotments to be

made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of funds and the quality of program services.

## **II. General Requirements**

### **A. Specific qualifications or requirements, including but not limited to licensure or accreditation**

If awarded the contract, the applicant shall:

- 1) Meet all State and County licensing requirements, if any, to operate business.
- 2) Arrange for a financial and compliance audit to be done and submitted to the Department as directed in accordance with "Government OMB Circular A-133" if the Applicant expends \$500,000 or more in federal funds in a year.
- 2) Refund to the State any funds unexpended or expended inappropriately.

### **B. Secondary purchaser participation**

(Refer to §3-143-608, HAR)

After-the-fact secondary purchases will be allowed.

Planned secondary purchases: None

### **C. Multiple or alternate proposals**

(Refer to §3-143-605, HAR)

☐ Allowed ☒ Unallowed

### **D. Single or multiple contracts to be awarded**

(Refer to §3-143-206, HAR)

☐ Single ☐ Multiple ☒ Single & Multiple

Criteria for multiple awards:

Multiple contracts may be awarded as the OYS deems appropriate to best meet the needs of the State after all proposals are reviewed.

### **E. Single or multi-term contracts to be awarded**

(Refer to §3-149-302, HAR)

☒ Single term ( $\leq 2$  yrs) ☐ Multi-term ( $> 2$  yrs.)

Contract terms: The initial term of the contract shall commence on or after July 1, 2006 or Notice to Proceed, whichever is later, and continue through October 31, 2007. There may be a possibility for extension of the initial award period up to an additional 12 months should funds become available. The maximum length of the contract shall be 28 months. The conditions for extension must be in writing and any extension must be executed prior to the expiration of the initial term of the contract and any subsequent extension. The award of a contract and any allowed renewal or extension thereof, is subject to allotments to be made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of funds and the quality of program services.

**F. RFP contact person**

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the successful provider or providers. Written questions should be submitted to the RFP contact person and received on or before the day and time specified in Section 1, paragraph I (Procurement Timetable) of this RFP.

RFP Contact Person: Dixie Thompson  
 Office of Youth Services  
 820 Mililani Street, Suite 817  
 Honolulu, Hawaii 96813  
 Phone: 808-587-5700 or 808-587-5718  
 Fax: 808-587-5734  
[dthompson@dhs.hawaii.gov](mailto:dthompson@dhs.hawaii.gov)

**III. Scope of Work**

The scope of work encompasses the following tasks and responsibilities:

**A. Service Activities**

(Minimum and/or mandatory tasks and responsibilities)

**1. Principles of Effectiveness.** The SDFSCA requires that programs comply with the principles set forth to provide a framework to improve the quality of drug and violence prevention programming. The funded program and activities shall:

- a. Be based on an assessment of objective data regarding the incidence of violence and illegal drug use in the elementary schools and secondary schools and communities to be served. Applicants shall identify and justify the need for the drug and violence prevention activities within the geographic area for the proposed services. Activities shall be based on an assessment of objective data regarding the incidence of violence and illegal drug use in schools and communities to be served,

including an objective analysis that is based on ongoing local assessment or evaluation activities of the current conditions and consequences regarding violence, illegal drug use, delinquency and/or serious discipline problems among youth who attend school (including private school students who participate in the drug and violence prevention program).

- b. Be based on an established set of performance measures aimed at ensuring that the elementary schools, secondary schools and communities to be served by the program have a safe, orderly, and drug-free learning environment. Applicants shall develop performance targets related to preventing drug and alcohol use by youth that support increased commitment to school by youth, learning environments conducive to learning and academic improvement and achievement, and successful completion of secondary school and transition to post-secondary education and/or employment for youth.
  - c. Be based on scientifically based research that provides evidence that the program to be used will reduce violence and illegal drug use among youth. Applicants shall describe the overall program models and provide data or information on research and studies completed that qualify the proposed service activity as an “evidenced-based” practice for the target population.
  - d. Be based on an analysis of the data reasonably available at the time of the prevalence of risk factors, including high or increasing rates of reported cases of child abuse and domestic violence; protective factors, buffers, assets; or other variables in schools and communities identified through scientifically based research. Applicants shall refer to results from appropriate national and local sources including, but not limited to Hawaii Youth Risk Behavior Survey, Hawaii Student Alcohol, Tobacco, and Drug Use Survey, Crime Reports, Census Reports, and Community Profiles.
2. **Authorized Activities.** In compliance with the Principles of Effectiveness described above, applicants shall propose to carry out at least one of the following authorized activities for the Governor’s program:
- a. Implement drug and violence prevention activities that complement and support authorized LEA activities to prevent and reduce violence associated with prejudice and intolerance;
  - b. Disseminate information about drug and violence prevention; and/or
  - c. Develop and implement community-wide drug and violence prevention planning and organizing.

3. Additionally, proposed authorized activities should be carried out in ways that:
  - a. Address the consequences of violence and the illegal use of drugs, as appropriate;
  - b. Promote a sense of individual responsibility;
  - c. Teach youth that most people do not illegally use drugs;
  - d. Teach youth to recognize social and peer pressure to use drugs illegally and the skills for resisting illegal drug use;
  - e. Teach youth about the dangers of emerging drugs;
  - f. Engage youth in the learning process;
  - g. Involve families, community sectors, and a variety of drug and violence prevention providers in setting clear expectations against violence and illegal use of drugs and appropriate consequences for violence and the illegal use of drugs; and
  - h. Disseminate drug and violence prevention information to the school and community.
4. **Service Components.** The following components shall be incorporated into proposed activities:
  - a. **Youth Involvement.** Youth are valued and viewed as resources so they should be given useful roles and be involved in productive activities in organizations and communities. Involving youth in developing and implementing services helps build a sense of ownership and assure appropriateness and success of activities, as well as provides youth the opportunity to develop leadership skills and to give back to the community. The applicant shall describe the manner in which youth have been and/or will be engaged and involved in the decision-making and implementation of the proposed activities.
  - b. **Family Involvement.** Families (biological, hanai, extended, foster, etc.) are considered partners and thereby share in the responsibility for raising healthy and productive youth. Parent support and activities promote parental competencies and encourage involvement of family members and guardians and/or significant adults in fostering family cohesion and developing positive relationships. The applicant shall demonstrate the capacity to address this component by describing past efforts and proposed activities to engage families, promote positive relationships within diverse family structures, impact parents' attitudes about drug and alcohol use and violence among youth, and/or improve



parents' ability to communicate with youth about drugs, violence and related issues.

- c. **Linkages with Other Agencies.** Coordination and cooperation amongst agencies within the community to plan and implement programs for youth is essential to assure youth have access to resources and services to more effectively meet their needs. The applicant shall describe existing and proposed activities that demonstrate its capacity for coordinating services and cooperating with other agencies and resources to provide services and programs for youth in the community or geographic area for proposed services.
- d. **Cultural Awareness and Identity.** Services and activities for youth shall be provided within a context that promotes the understanding and appreciation of the ethnic and cultural diversity of the community. Youth shall have the opportunity to develop an understanding of self and culture and a sense of identity and belonging. The applicant shall describe the manner in which proposed services will be responsive to and reflect the culture, ethnicity and identity of the program participants.
- e. **Gender Appropriate Programming.** Programs and activities should be responsive to the strengths and unique needs of both boys and girls. The applicant shall describe current and proposed activities that demonstrate its capacity to develop, implement, and evaluate drug and/or violence prevention activities that are gender-specific and appropriate for the population served.
- f. **Developmentally Appropriate Programming.** Services and activities shall be sensitive to the unique needs, characteristics and learning styles of each participant. To the extent possible, services shall match the social, emotional and cognitive ability of participants in the program. The applicant shall describe how the program has met or proposes to meet the individual needs of the target population.
- g. **Evaluation.** Evaluation shall be a consideration of the proposed service during all aspects of the programming, including but not limited to design, planning, implementation, and assessment of results and effectiveness. The applicant shall describe the arrangements for evaluation and methods used to determine the program effectiveness and overall impact on target population, and provide assurance that evaluation will be included as integral part of the proposed service activity.

**B. Management Requirements (Minimum and/or mandatory requirements)****1. Personnel**

- a. The applicant shall ensure that employees do not have a criminal history or background that poses a risk to youth. The applicant shall conduct employment and reference checks on all employment applicants. In addition, prior to providing direct services to youth, criminal history record checks (State and FBI Criminal History Check, Sex Offender Registry, and the Child Abuse and Neglect Registry Clearance) shall be conducted, as allowed by statutes or rules, for any person who is employed or volunteers in an position that necessitates close proximity to or contact with children or adolescents. Documentation of criminal history record checks shall be maintained in the employee or volunteer's personnel file and shall be available for review. Criminal history record checks, except for the FBI fingerprint check, shall be conducted annually.
- b. The applicant shall develop policies that describe the grounds and circumstances for denial of employment or termination of current employees who have been found to have convictions or pending charges upon completion of any criminal history check or other investigation.
- c. The applicant shall have written personnel policies covering selection of staff, salaries, fringe benefits, leaves, job descriptions, and minimum qualifications of each position. Staff salaries shall be sufficiently competitive to recruit and retain qualified staff.
- d. The program staff and volunteers shall have appropriate qualifications and necessary training to provide the required drug and violence prevention services and activities, demonstrate knowledge, capacity, skills and experience in working with the target population, and are knowledgeable about the community served.
- e. Applicants shall engage trainers and professionals that have expertise in the subject matter and experience working with the staff and/or identified target population to ensure credibility with the target audiences. The trainers should be skilled in conveying information to participants.

**2. Administrative**

- a. The applicant is required to meet with the OYS to discuss any aspect of the services.
- b. The applicant is required to maintain detailed records of youth, program activities, and personnel in addition to maintaining an accounting system and financial records to accurately account for

funds awarded. Funds shall be budgeted and expended in accordance with applicable State and/or Federal cost principles.

- c. The applicant shall also be required to comply with applicable provisions and mandates of the Health Insurance Portability and Accountability Act (HIPAA) of 1996. The HIPAA regulates how individually identifiable health (medical and mental health) information is handled to ensure confidentiality.
- d. The OYS reserves the right to make modifications to the scope of the services and in funding amounts that it is currently unable to anticipate. There may be unique circumstances, not limited to directives and decrees from State and Federal agencies that require these modifications be made to continue or improve services. Additionally should funding be increased or decreased, the OYS reserves the right to add in additional funds or decrease at its discretion.
- e. The applicant shall not utilize youth for any agency solicitation or political campaign purposes.
- f. The applicant may not charge youth and/or their families more than a token amount for program services.
- g. Subcontracting arrangements may be allowed if the applicant is unable to provide components of the requested services directly. Copies of draft subcontract agreements must be submitted as an attachment to the proposal. All subcontracts must follow the pricing structure and all other requirements of this RFP.
- h. Memoranda of Agreements and working agreements with other agencies for services resulting from awards and contracts of this RFP shall be submitted to the OYS for review for appropriateness and relevancy.
- i. School-based programs that are awarded must provide equitable participation for private school students and teachers. The proposals from such applicants shall include information according to Education Department General Administrative Regulations (EDGAR) 34 C.F.R. 76.656. Publication available for reference at <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

### **3. Quality assurance and evaluation specifications**

- a. All contracts shall be monitored by the OYS in accordance with requirements set forth by Chapter 103F, Hawaii Revised Statutes. Contract monitoring shall include but may not be limited to:

- 1) The review of amendments and approvals, deemed appropriate by the OYS, of the contract's program items, especially the outcomes plan, the performance targets and milestones, the assurance of collaboration, quarterly program reports, and other documents submitted to the OYS.
  - 2) Periodic site visits, scheduled and unscheduled, with written evaluation of the major program service areas, such as:
    - a) Staff qualification, organization, and effectiveness.
    - b) Program compliance with SDFSCA guidelines and the Principles of Effectiveness.
    - c) Outcomes planning, implementation, and evaluation.
    - d) Collaboration (Informal and formal agreements and subcontracts).
    - e) File maintenance and record keeping.
    - f) Facility accessibility, suitability, and safety.
    - g) Transportation and other liability issues.
    - h) Consumer satisfaction.
  - 3) Access to all materials, files, and documents relating to the provision of services. In addition, the OYS may, at its discretion, observe individual, group, and educational sessions conducted by the applicant.
- b. The applicant must maintain for the term of the contract the system of evaluation developed by the OYS, including the use of evaluation tools and reporting forms. In addition, the applicant must take corrective actions the OYS deems necessary in light of the evaluation data.

#### **4. Output and performance/outcome measurements**

- a. An Outcomes Framework (outcomes, performance targets, and milestones) will be used for monitoring and results reporting. The Outcomes Framework (OF) for this service will focus on specific changes in conditions, skills, attitudes, and/or behaviors of at-risk youth and their families related to drug and violence issues, education and prevention services.
  - 1) Performance targets are statements that describe the number of program participants who will achieve the established level of success and/or the anticipated increase level of change in program participants that occurs as a consequence of the service provided. The performance target does not reflect the actions or behaviors of the agency or the staff in the delivery of the program services. In response to the RFP, applicants must propose and commit to

performance targets directly related to attitudes about drugs and alcohol use; violence prevention; successful completion of high school education; transition to post-secondary education or employment; and/or other risk/protective factors related to preventing the use of drugs and violence by youth.

- 2) Milestones describe the sequential and or incremental steps or actions made by the program participants to indicate they are successfully progressing toward achieving the performance target. Applicants should identify the milestones that will most effectively communicate (track and report) the success of program participants and at the same time can be efficiently documented on an ongoing basis. The successful achievement of milestones and performance targets should be verifiable by direct and indirect measures, observable events or behaviors, or indicators identified by the applicant.
- b. Within this OF, applicants must:
- 1) Base their programs on a thorough assessment of objective data about the relevant risk and protective factors in the local communities and geographic areas being served.
  - 2) Design and implement programs for youth based on research or evaluation that provides evidence that the programs and activities used impact the indicators of risk and protective factors and contribute to preventing or reducing risk factors and establishing or strengthening protective factors related to drug use and violence.
  - 3) Evaluate programs to assess their progress toward achieving the outcomes, performance targets, and milestones. Furthermore, such evaluation shall be used to improve and strengthen the programs, to revise timelines, and to refine the outcomes, performance targets, and milestones.
  - 4) Use appropriate computer hardware and Microsoft software Access and Excel to record, monitor, and report various data.
- c. Applicants will commit to the performance targets finalized with the OYS as part of the applicants' contractual responsibility. Applicants will track and report progress through a standard reporting format and meet periodically with the OYS to review progress and results and to make necessary modifications and corrections.
- d. In order to facilitate the implementation of the OF and enhanced services, the State will:

- 1) Provide technical assistance in developing outcomes, performance targets, and milestones.
- 2) Provide technical assistance in using forms developed by the OYS and necessary hardware and software to evaluate the progress of the programs using such forms.

## **5. Experience**

Applicants shall have a minimum of three years experience designing, implementing, managing, and/or evaluating prevention programs or other activities related to those proposed in response to this RFP.

## **6. Coordination of Services**

Funded programs shall coordinate with related Federal, State, school, and community efforts and resources to foster safe and drug-free learning environments that promote student academic achievement.

## **7. Reporting requirements for program and fiscal data**

- a. Contracts are programmatically and fiscally monitored by the State. Monitoring includes the review of program reports and services; budgets and revisions (as approved by the State); invoices and expenditure reports; and any issues applicable to services provided. Monitoring will take place at a variety of locations including the applicant's administrative office and the site(s) of service delivery.
- b. OYS will provide applicants diskettes with the required reporting forms upon execution of contracts.
- c. Timely program and fiscal reports as specified by the OYS will be due quarterly and at the end of each budget period. The applicant shall submit to OYS its final invoice no later than 30 days after the end of each budget period. Lapsing of funds will occur if final invoices are not received by OYS in a timely manner.

## **8. Pricing structure or pricing methodology to be used**

Pricing structure will be based on a cost reimbursement basis. The cost reimbursement pricing structure reflects a purchase arrangement in which the State pays the applicant for budgeted agreed-upon costs that are actually incurred and allocable in delivering the services specified in the contract, up to a stated maximum obligation.

**9. Units of service and unit rate**

Not applicable.

**10. Method of compensation and payment**

Payments shall be made in accordance with the State of Hawaii, State Procurement Office, Chapter 103F, HRS – Cost Principles, Purchases of Health and Human Services and when applicable, in accordance with the Office of Management and Budget (OMB) Federal Cost Principles (OMB Circular A-21, A-87 or A-122) and subject to the following:

- a. Payments shall be made in monthly installments upon the monthly submission by the applicant of an invoice for the services provided in accordance with the terms and information set forth in the contract.
- b. After the first payment made in advance, the monthly invoices shall be based on expenditures actually incurred for the performance of the services required under the contract.
- c. The OYS shall withhold a final payment of the total compensation for each budget period until final settlement of each budget period of a contract. Provided that all expenditures are in compliance with the terms stated in the contract, payment of the lesser of actual costs reported on the final expenditure report or the contract amount for the budget period will be made.

**IV. Facilities**

Applicants shall assure the adequacy of the facilities that will be used to conduct the proposed service to ensure the safety and well-being of the target population.

## **Section 3**

# **Proposal Application Instructions**



## Section 3

# Proposal Application Instructions

### General instructions for completing applications:

- *Proposal Applications shall be submitted to the OYS using the prescribed format outlined in this section.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the Proposal Application should be consecutive, beginning with page one and continuing through for each section. See sample table of contents in Section 5.*
- *Applicants must not exceed specified page limits. Attachments are not included within the page limits.*
- *Use 1" margins.*
- *Use 12 point font.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for **each** item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are **strongly** encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPO-H-200A) is available on the SPO website (see Section 1, paragraph II, Website Reference). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*

### The Proposal Application comprises the following sections:

- *Proposal Application Identification Form*
- *Table of Contents*
- *Program Overview*
- *Experience and Capability*
- *Project Organization and Staffing*
- *Service Delivery*
- *Financial*
- *Other*

**I. Program Overview (Not to exceed 1 page; 0 points)**

Applicant shall give a clear, concise overview to orient evaluators as to the program/services being offered and highlight the contents of the proposal. Applicant shall include the goals and objectives related to the service activity, means and methods used to assess the needs of the community or geographic area identified for service, and how the proposed service program activity is designed to meet the needs identified and comply with the SDFSCA grant requirements.

**II. Experience and Capability (Not to exceed 5 pages; 20 points)****A. Necessary Skills**

The applicant shall demonstrate that it has the necessary skills, abilities, and knowledge relating to the delivery of the proposed services, including but not limited to prevention approaches, needs of the target population, relevant risk and protective factors, and the community resources.

**B. Experience**

The applicant shall provide a description of projects/contracts for the most recent three (3) years pertinent to the proposed services and target population. Applicant shall include points of contact, addresses, e-mail and phone numbers. The OYS reserves the right to contact references to verify experience.

**C. Quality Assurance and Evaluation**

The applicant shall describe its own plans for quality assurance and evaluation for the proposed services, including methodology. The applicant shall describe the arrangements for evaluation and methods to determine the program effectiveness and overall impact on target population.

**D. Coordination of Services**

The applicant shall describe its experience in collaborating and coordinating with other agencies and resources in the community or geographic area of planned service delivery. Letters of agreement or support should be specific and relevant to the planned services for this RFP.

**E. Facilities**

The applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. The applicant shall also describe how the facilities meet ADA requirements, as applicable and special equipment that may be required for the services.

**III. Project Organization and Staffing (Not to exceed 5 pages; 15 points)****A. Staffing****1. Proposed Staffing**

The applicant shall describe the proposed staffing pattern, client/staff ratio and proposed caseload capacity appropriate for the viability of the services. List all staff that will be responsible for providing proposed services, including contract oversight functions and direct services to youth and their families. (Refer to the personnel requirements in the Service Specifications, as applicable.)

**2. Staff Qualifications**

The applicant shall provide the minimum qualifications (including experience) for staff assigned to the program. Resumes of key staff and job descriptions of all staff that will be providing services shall be included. (Refer to the qualifications in the Service Specifications, as applicable)

**B. Project Organization****1. Supervision and Training**

The applicant shall describe its ability to supervise, train and provide administrative direction relative to the delivery of the proposed services.

**2. Organization Chart**

The applicant shall reflect the position of each staff and line of responsibility/supervision. (Include position title, name and full time equivalency) Both the “Organization-wide” and “Program” organization charts shall be attached to the Proposal Application. Organization-wide charts should be used to indicate lines of collaboration, cooperation, or authority between relevant partners in the delivery of the proposed services. Program charts should be used to reflect positions involved in implementing the specific services to be carried out by a single service provider or agency. The applicant shall reflect the position(s) of each individual who has direct responsibility for the proposed services, including position title, name, full time equivalency, and supervision received.

If the applicant does not have an organization chart, the applicant shall state so and name the person(s) directly responsible for the specific prevention services to be delivered.

#### **IV. Service Delivery (Not to exceed 20 pages; 55 points)**

Applicant shall include a detailed discussion of the applicant's approach to applicable service activities and management requirements from Section 2, Item III. - Scope of Work, including a work plan of all service activities and tasks to be completed, related work assignments/responsibilities and timelines/schedules. The discussion will summarize information collected regarding drug use and violence issues, related risk and protective factors, and community needs, assets and resources.

Applicant shall describe how the proposed work plan and service activities:

- comply with the Principles of Effectiveness;
- design, plan, implement and evaluate authorized activities; and
- incorporate the service components.

Applicant will identify the evidence-based practices that will be implemented, the rationale for using these specific programs/activities, implementation issues and considerations, and strategies for engaging and maintaining involvement of the target population.

Applicant shall define preliminary outcomes that are expected as a result of the prevention activities and strategies. The applicant must submit a completed Outcomes Plan (OYS Form 4-1) which will identify performance targets, milestones, indicators and achievement projections for the program participants.

#### **V. Financial (10 points)**

##### **A. Pricing Structure**

Applicant shall submit a cost proposal utilizing the pricing structure designated by the state purchasing agency. The cost proposal shall be attached to the Proposal Application.

All budget forms, instructions and samples are located on the SPO website (see Section 1, paragraph II Websites referred to in this RFP). The following budget form(s) shall be submitted with the Proposal Application:

- |                    |  |
|--------------------|--|
| 1. Form SPO-H-205  | Budget   |
| 2. Form SPO-H-206A | Budget Justification-Personnel: Salaries & Wages                             |
| 3. Form SPO-H-206B | Budget Justification-Personnel: Payroll Taxes, Assessments & Fringe Benefits |
| 4. Form SPO-H-206C | Budget Justification-Travel – Inter-Island                                   |
| 5. Form SPO-H-206D | Budget Justification-Travel – Out of State                                   |
| 6. Form SPO-H-206E | Budget Justification-Contractual Services-Administrative                     |
| 7. Form SPO-H-206F | Budget Justification- Contractual Services-                                  |

## Subcontracts

## 8. Form SPO-H-206H Budget Justification-Program Activities

**B. Other Financial Related Materials****1. Accounting System.**

In order to determine the adequacy of the applicant's accounting system as described under the administrative rules, the following documents are requested as part of the Proposal Application (may be attached):

- a. Latest Single Audit Report of Financial Audit
- b. Cost Allocation Plan, which demonstrates expenditures are allocated based on a plan that is reasonable, appropriate, and lawful.

**2. Accounting Personnel.**

- a. Applicant must state which staff positions are responsible for maintaining accounting records and fiscal reporting and approximately how many hours a week is devoted to this function.
- b. Applicant shall also describe what accounting qualifications are required for each of these positions if not detailed in the submitted Section III. Personnel: Project Organization and Staffing.
- c. Applicant shall state which staff position will be responsible for filing timely quarterly expenditure reports required by all OYS contracts.

**VI. Other****Litigation**

The applicant shall disclose any pending litigation to which it is a party, including the disclosure of any outstanding judgment. If applicable, please explain.

**NOTE:** It is highly recommended that the applicant also read *Section 4, Proposal Evaluation* of this RFP which contains criteria for evaluating proposals submitted in response to this RFP.

# **Section 4**

## **Proposal Evaluation**

## Section 4

# Proposal Evaluation

### I. Introduction

The evaluation of proposals received in response to the RFP will be conducted comprehensively, fairly and impartially. Structural, quantitative scoring techniques will be utilized to maximize the objectivity of the evaluation.

### II. Evaluation Process

The procurement officer or an evaluation committee of designated reviewers selected by the head of the state purchasing agency or procurement officer shall review and evaluate proposals. When an evaluation committee is utilized, the committee will be comprised of individuals with experience in, knowledge of, and program responsibility for program service and financing.

The evaluation will be conducted in three phases as follows:

- Phase 1 - Evaluation of Proposal Requirements
- Phase 2 - Evaluation of Proposal Application
- Phase 3 - Recommendation for Award

#### Evaluation Categories and Thresholds

##### Evaluation Categories

##### Possible Points

##### *Administrative Requirements*

##### *Proposal Application*

##### **100 Points**

Program Overview	0 points
Experience and Capability	20 points
Project Organization and Staffing	15 points
Service Delivery	55 points
Financial	10 Points

##### **TOTAL POSSIBLE POINTS**

##### **100 Points**

### III. Evaluation Criteria

#### A. Phase 1 - Evaluation of Proposal Requirements

##### 1. Administrative Requirements

- Application Checklist
- Tax Clearance Certificate (Form A-6)

##### 2. Proposal Application Requirements

- Proposal Application Identification Form (Form SPO-H-200)
- Table of Contents
- Program Overview
- Experience and Capability
- Project Organization and Staffing
- Service Delivery
- Financial (All required forms and documents)
- Program Specific Requirements (as applicable)

#### B. Phase 2 - Evaluation of Proposal Application (100 Points)

***Program Overview:*** No points are assigned to Program Overview. The intent is to give the applicant an opportunity orient evaluators as to the service(s) being offered.

##### 1. *Experience and Capability (20 Points)*

The State will evaluate the applicant's experience and capability relevant to the proposal contract, which shall include:

##### A. Necessary Skills

- Demonstrated knowledge of approaches that will reduce risk factors or enhance protective factors within communities.
- Demonstrated skill in delivering drug and violence prevention programs.
- Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services.
- Demonstrated skills working in and knowledge of the geographic area or community designated for proposed services.



**B. Experience**

- Demonstrated minimum of three (3) years experience with related service activity.
- Demonstrated experience providing services for the target population.

**C. Quality Assurance and Evaluation**

- Sufficiency of quality assurance for the proposed services, including methodology.
- Sufficiency of evaluation plans to determine program effectiveness and impact on target population for the proposed services, including methodology.

**D. Coordination of Services**

- Demonstrated capability to coordinate services with other agencies and resources in the community identified for service.
- Described procedures for working together with other service providers or agencies in the community to implement drug use and violence prevention activities.
- Documentation of support and involvement of agencies that will be involved with or benefit from proposed services.

**E. Facilities**

- Adequacy of facilities relative to the proposed services.
- Facilities meet ADA requirements, as applicable.

**2. *Project Organization and Staffing (15 Points)***

The State will evaluate the applicant's overall staffing approach to the service that shall include:

**A. Staffing**

- Proposed Staffing: The proposed staffing pattern, client/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services.
- Staff Qualifications: Minimum qualifications (including experience) for staff assigned to the program provided in proposal.
- Proposal includes resumes of key staff that list experience with related or similar projects.

**B. Project Organization**

- **Supervision and Training**: Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services.
- **Organization Chart**: Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks.

**3. Service Delivery (55 Points)**

*Evaluation criteria for this section will assess the applicant's approach to the service activities and management requirements outlined in the Proposal Application.*

- Comprehensive needs assessment includes information from reliable data sources that substantiate the target group and/or community needs that the service will address within an identified geographic area.
- Service supports the goal of achieving safe, drug free schools and communities and is an authorized activity described as on-going or coordinated series of activities that demonstrate a clear substance abuse and violence prevention education component.
- Service activity or program model is an “evidenced-based” practice that has been shown to reduce violence and illegal drug use among youth.
- Prevalence data related to risk and protective factors, assets, or other variables used in planning the service.
- Performance Measures for the program participants are established and submitted on the OYS Form 4-1.
- Service components, including youth and family involvement, linkages with agencies, cultural awareness, gender-specific and developmentally appropriate programming and evaluation are described.

- The logic of the work plan for the major service activities and tasks to be completed, including clarity in work assignments and responsibilities, and the realism of the timelines and schedules, as applicable.

**5. *Financial (10 Points)***

- Personnel costs are reasonable and comparable to positions in the community.
- Non-personnel costs are reasonable and adequately justified.
- The budget fully supports the scope of service and requirements of the Request for Proposal.
- Adequacy of accounting system.

**C. Phase 3 - Recommendation for Award**

Each notice of award shall contain a statement of findings and decision for the award or non-award of the contract to each applicant.

## **Section 5**

### **Attachments**

- A. Proposal Application Checklist
- B. Sample Table of Contents
- C. Special Conditions
- D. Outcomes Plan & Program Report (OYS Form 4-1)
- E. Website Resources

## Proposal Application Checklist

Applicant: \_\_\_\_\_

RFP No.: \_\_\_\_\_

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the purchasing agency as part of the Proposal Application. SPOH forms are on the SPO website. See Section 1, paragraph II Website Reference.\*

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
General:				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	X	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*	X	
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5		
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*	X	
SPO-H-206D	Section 3, RFP	SPO Website*	X	
SPO-H-206E	Section 3, RFP	SPO Website*	X	
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*		
SPO-H-206H	Section 3, RFP	SPO Website*	X	
SPO-H-206I	Section 3, RFP	SPO Website*		
SPO-H-206J	Section 3, RFP	SPO Website*		
Certifications:				
Federal Certifications		Section 5, RFP	OYS will require certification at time of contract execution.	
Debarment & Suspension		Section 5, RFP		
Drug Free Workplace		Section 5, RFP		
Lobbying		Section 5, RFP		
Program Fraud Civil Remedies Act		Section 5, RFP		
Environmental Tobacco Smoke		Section 5, RFP		
Program Specific Requirements:				
Outcomes Plan (OYS FORM 4-1)	Sections 2 & 3, RFP	ATTACHMENT D	X	

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date

## Proposal Application Table of Contents

<b>I.</b>	<b>Program Overview.....</b>	<b>1</b>
<b>II.</b>	<b>Experience and Capability .....</b>	<b>1</b>
<b>A.</b>	Necessary Skills .....	2
<b>B.</b>	Experience.....	4
<b>C.</b>	Quality Assurance and Evaluation.....	5
<b>D.</b>	Coordination of Services.....	6
<b>E.</b>	Facilities.....	6
<b>III.</b>	<b>Project Organization and Staffing .....</b>	<b>7</b>
<b>A.</b>	Staffing.....	7
	1. Proposed Staffing.....	7
	2. Staff Qualifications .....	9
<b>B.</b>	Project Organization .....	10
	1. Supervision and Training.....	10
	2. Organization Chart (Program & Organization-wide) (See Attachments for Organization Charts)	
<b>IV.</b>	<b>Service Delivery.....</b>	<b>12</b>
<b>V.</b>	<b>Financial.....</b>	<b>20</b>
	See Attachments for Cost Proposal	
<b>VI.</b>	<b>Litigation.....</b>	<b>20</b>
<b>VII.</b>	<b>Attachments</b>	
<b>A.</b>	Cost Proposal	
	SPO-H-205 Proposal Budget	
	SPO-H-206A Budget Justification - Personnel: Salaries & Wages	
	SPO-H-206B Budget Justification - Personnel: Payroll Taxes and Assessments, and Fringe Benefits	
	SPO-H-206C Budget Justification - Travel: Interisland	
	SPO-H-206E Budget Justification - Contractual Services – Administrative	
<b>B.</b>	Other Financial Related Materials	
	Financial Audit for fiscal year ended June 30, 1996	
<b>C.</b>	Organization Chart	
	Program	
	Organization-wide	
<b>D.</b>	Performance and Output Measurement Tables	
	Table A	
	Table B	
	Table C	
<b>E.</b>	Program Specific Requirements	

Organization: \_\_\_\_\_

RFP No: \_\_\_\_\_

*You may begin inserting any other attachments you may have here, such as:*

*Workplans*

*Performance and output tables*

*Certifications*

*Before inserting each document, insert a “section break/next page” to preserve formatting of each additional document. If you have having problems with formatting, it will be easier to convert all documents to PDF and then insert them into one document.*

## **SPECIAL CONDITIONS**

1. **Insurance.** Paragraph 1.4, Insurance, Exhibit “D”, General Conditions, is modified and the PROVIDER agrees to the following:

The PROVIDER shall obtain, maintain, and keep in force throughout the period of this Agreement liability insurance (the “Liability Insurance”) issued by an insurance company in a combined amount of at least TWO MILLION AND NO/100 DOLLARS (\$2,000,000.00), or such lesser amount requested in writing by the PROVIDER and, for good cause shown, approved by the head of the purchasing agency, which approval, if any, is incorporated herein by reference, for bodily injury and property damage liability arising out of each occurrence. The Liability Insurance shall provide that it is the primary insurance for the State of Hawaii, the purchasing agency, and their officers, employees, and agents for any liability arising out of or resulting from occurrences connected with the PROVIDER’s performance under this Agreement. Prior to or upon execution of this Agreement, the PROVIDER shall obtain a certificate of insurance verifying the existence of the necessary liability insurance coverage, including the coverage of the State of Hawaii, and its officers, employees, and agents. If the scheduled expiration date of the liability insurance policy is earlier than the expiration date of the time for performance under this Agreement, the PROVIDER, upon renewal of the policy, shall promptly cause to be provided to the STATE an updated certificate of insurance. The certificates of insurance shall expressly provide that the insurance policy shall not be cancelled unless the insurance company has first given to the STATE thirty (30) calendar days’ written notice of the intended cancellation.

In order to protect the PROVIDER as well as the State of Hawaii, the STATE, and their officers, employees, and agents covered under the indemnification provision in this Agreement, the PROVIDER shall obtain and keep in force throughout the period of this Agreement the following insurance:

Automobile liability insurance for automobiles owned or leased by the PROVIDER and used to carry out services specified in this Agreement shall be obtained from a company authorized to do business in the State, or meet Section 431:8-301, Hawaii Revised Statutes if utilizing an insurance company not licensed by the State of Hawaii, and complying with the Hawaii No Fault Insurance Law. The amount shall be at least ONE MILLION AND NO/100 DOLLARS (\$1,000,000.00) combined single limit with respect to bodily injury and property damage. The PROVIDER’s policy shall name the STATE, the State of Hawaii and their officers, agents, servants or employees as additional insured. Prior to or upon execution of this Agreement, the PROVIDER shall furnish the STATE with a Certificate of Insurance, verifying the existence of such insurance. Such certificate shall also expressly provide that such insurance shall not be canceled unless the insurance company has first given to the STATE thirty (30) calendar days’ written notice of the intended cancellation.



If the PROVIDER is authorized by the STATE to subcontract, subcontractor(s) is not excused from the Indemnification and/or Insurance provisions of this Agreement. The PROVIDER agrees to require its subcontractor(s) to obtain insurance in order to indemnify the STATE.

Failure of the PROVIDER to provide and keep in force such insurance shall be regarded as material default under this Agreement, entitling the STATE to exercise any or all of the remedies provided in this Agreement for default of the PROVIDER.

The procuring of such required policy or policies of insurance shall not be construed to limit the PROVIDER's liability hereunder nor to fulfill the indemnification provisions and requirements of this Agreement. Notwithstanding said policy or policies of insurance, the PROVIDER shall be obliged for the full and total amount of any damage, injury, or loss caused by the negligent act or omission of the PROVIDER or its authorized representatives.

2. **Confidential Information.** In addition to Paragraph 2.1, Confidentiality of Material, Exhibit "D", General Conditions, the PROVIDER further agrees to the following:

All information and records about or for the clients served, secured from clients, the STATE, or any other individuals or agencies by the PROVIDER, or prepared by the PROVIDER for the STATE, in satisfaction of this Agreement, shall be confidential and shall not be made available to any individual or organization by the PROVIDER without prior written approval of the STATE, subject to provisions of applicable State of Hawaii and Federal statutes, and State of Hawaii Administrative Rules. To ensure the confidentiality of all such information and records, the PROVIDER shall immediately notify the STATE when inquiries for information, including subpoenas are made to the PROVIDER. The PROVIDER shall submit copies of all written requests for information, as well as subpoenas, to the STATE.

3. **Maintain Records.** In addition to Paragraph 2.3, Records Retention, Exhibit "D", General Conditions. The PROVIDER further agrees as follows:

The PROVIDER shall maintain statistical, clinical, and administrative records pertaining to services of this Agreement. The records shall be subject at all reasonable times to inspection or review by the STATE or Federal representatives directly connected with the program area under this Agreement. All records shall be retained and made accessible for a minimum of six years after the date of submission of the PROVIDER's final report to the STATE; provided that, in the event any litigation, claim, negotiation, investigation, audit, or other action involving the records has been started before the expiration of the 6-year period, the PROVIDER shall retain the records until completion of the action and resolution of all issues that arise from it or until the end of the regular 6-year retention period, whichever occurs later.

4. **Equipment.** All equipment purchased with contract funds under this Agreement including items of personal property, as distinguished from real property, that has an

acquisition cost of \$1,000.00 or more per item and with an expected life of more than one year, shall remain the property of the STATE. All equipment purchased with contract funds must have prior approval from the STATE before purchase to be allowable. Following the Agreement period, all equipment shall be reported in the final fiscal report to the STATE. Disposition of said equipment shall be prescribed by the STATE.

5. **Publications.** The PROVIDER shall submit all reports and written publications resulting from this Agreement for review, comment and approval prior to publication. Any publications (written, visual or sound), whether published at the PROVIDER's or STATE's expense, shall contain the following statements (Note: This excludes press releases, newsletters, and issue analyses):

This project was supported by an Agreement from the Office of Youth Services, Department of Human Services, State of Hawaii (and if applicable, the name and federal award number of a federal grant funding the contract).

The opinions, findings, and conclusions or recommendations expressed in this publication/program/exhibition are those of the author(s) and do not necessarily reflect the views of the Office of Youth Services (and if applicable, the federal grant agency).

6. **HIPAA.** In this Agreement "HIPAA" means the Administrative Simplification provisions of the *Health Insurance Portability and Accountability Act of 1996*, Pub. L. No. 104-191. PROVIDER is a "health care provider" under HIPAA. A "covered entity" is a health care provider that transmits information in a standard electronic transaction under 45 CFR Parts 160 and 162. If PROVIDER is or becomes a "covered entity", then PROVIDER must comply with all of the rules adopted to implement HIPAA, including rules for privacy of individually identifiable information, security of electronic protected health information, transactions and code sets, and national employer and provider identifiers. See, 45 CFR Parts 160, 162, and 164.
7. **Federal Audit Requirement.** The PROVIDER, when required, shall have an independent certified public accountant conduct a financial and compliance audit in accordance with the guidelines of the Office of Management and Budget (OMB) Circular No. A-133, "Revised, Audit Requirements for the State, Local Governments, and Non-Profit Organizations."

## OUTCOMES PLAN &amp; PROGRAM REPORT

(Submit Original and Two Copies For Each Target Group)

Note: To X a ☐ Double Click On It, Select "Checked" Option  
Outcomes Plan Number (Check One):

☐ 1 Target Group ☐ 2 Target Group

Contract Number: DHS \_\_\_\_ OYS \_\_\_\_

Agency: \_\_\_\_\_

Contract Start Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Contract End Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

This Document Is Submitted As (Check One Only):

☐ Initial Outcomes Plan (After Approval, May Not Be Revised Without OYS Consent)

☐ Quarterly Program Report for (Check One):

☐ 1st ☐ 2nd ☐ 3rd ☐ 5th ☐ 6th ☐ 7th Quarter

(Check One)

☐ One Year Report (4th Quarter) or

☐ Two Year Report (8th Quarter)

☐ A Request for Revision (Boldface Requested Changes). Fill Out Request for Revision Section in Form 4-1.

Date Submitted	Prepared By (Signature)	Date Approved	Approved By (Signature)
___/___/___		___/___/___	
___/___/___		___/___/___	
___/___/___		___/___/___	
___/___/___		___/___/___	

## Target Group Description

Ethnicities Targeted (Check One or More)		Risk Level Targeted (Check One Level Only)	Service Areas Targeted (Check One or More)
<input type="checkbox"/> All Ethnicities <input type="checkbox"/> American Indian <input type="checkbox"/> Black <input type="checkbox"/> Cambodian <input type="checkbox"/> Caucasian <input type="checkbox"/> Chinese <input type="checkbox"/> Filipino <input type="checkbox"/> Hawaiian (Part, Full) <input type="checkbox"/> Japanese <input type="checkbox"/> Korean <input type="checkbox"/> Laotian	<input type="checkbox"/> Marshallese <input type="checkbox"/> Micronesian <input type="checkbox"/> Mixed (Not Hawaiian) <input type="checkbox"/> Other Asian <input type="checkbox"/> Other Pacific Islander <input type="checkbox"/> Portuguese <input type="checkbox"/> Puerto Rican, Hispanic <input type="checkbox"/> Samoan <input type="checkbox"/> Tongan <input type="checkbox"/> Unknown <input type="checkbox"/> Vietnamese <input type="checkbox"/> Other	<input type="checkbox"/> Risk Level I • At-risk for violence, substance abuse, and/or criminal activity due to geographic, ethnic, or socioeconomic factors.  <input type="checkbox"/> Risk Level II Any One of the Following: • Status offender: Chronically truant, runaway. • Involved in gangs, violence, or substance abuse. • Experiencing serious family problems. • Abused and/or neglected.  <input type="checkbox"/> Risk Level III Any One of the Following: • Any characteristic of Level II, but also has immediate need for food, shelter, clothing, and/or medical treatment. • Involved in felony activity. • Court adjudicated. • At-risk for out-of-home placement. • At-risk for secure confinement.  <input type="checkbox"/> Risk Level IV • Chronic serious offender requiring secure confinement for safety of public and/or of self.	<input type="checkbox"/> Statewide (All Islands) <input type="checkbox"/> Oahu (All) <input type="checkbox"/> Oahu: Central <input type="checkbox"/> Oahu: Honolulu <input type="checkbox"/> Oahu: Leeward <input type="checkbox"/> Oahu: Windward <input type="checkbox"/> Hawaii (All) <input type="checkbox"/> Hawaii: Hamakua <input type="checkbox"/> Hawaii: Kohala, Waimea <input type="checkbox"/> Hawaii: Kona, Kailua-Kona <input type="checkbox"/> Hawaii: Kona, Pahoehoe <input type="checkbox"/> Hawaii: Naalehu, Kau <input type="checkbox"/> Maui (All) <input type="checkbox"/> Maui: Lahaina, Wahee <input type="checkbox"/> Maui: Wailuku, Kahului, Kihei <input type="checkbox"/> Maui: Kula, Haiku, Makawao <input type="checkbox"/> Maui: Kona, Hana, Pala <input type="checkbox"/> Maui: Lanai <input type="checkbox"/> Maui: Molokai
Age Range Targeted (Between 5 - 19 Years) ____ To ____	Gender: <input type="checkbox"/> M <input type="checkbox"/> F <input type="checkbox"/> MF		

## Performance Targets and Milestones: Report (Unduplicated by Quarters)

P T	Performance Target & Milestones	1st	2nd		3rd		4th		One Year		5th		6th		7th		8th		Two Years		Releases To Date
			P	A	P	A	P	A	P	A	P	A	P	A	P	A	P	A	Year Goal	YTD Actual	
1	Performance Target (Arial Narrow, 8 Point Type):																				
	PT Type:																				
	Milestones																				
	Sources of Verification																				
	a. Milestone (Registration):																				
	b. Milestone:																				
	c. Milestone:																				
	d. Milestone:																				
	e. Milestone:																				
	f. Milestone:																				
	g. Milestone:																				
	h. Milestone (Last Milestone is the Performance Target):																				

\*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.  
 #Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

[illegible]

**\*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.  
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract**

## Performance Targets and Milestones: Report (Unduplicated by Quarters)

P T	Performance Target & Milestones		1st		2nd		3rd		4th		One Year		5th		6th		7th		8th		Two Years		Releases To Date	
	Performance Target (Arial Narrow, 8 Point Type):	PT Type:	#Carryovers	P	A	P	A	P	A	P	A	Year Goal	YTD Actual	P	A	P	A	P	A	P	A	Two Year Goal		2YTD Actual
		Milestones	Sources of Verification																					
a.	Milestone (Registration):																							
b.	Milestone:																							
c.	Milestone:																							
d.	Milestone:																							
e.	Milestone:																							
f.	Milestone:																							
g.	Milestone:																							
h.	Milestone (Last Milestone is the Performance Target):																							

\*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.  
 #Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

\*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.  
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

## Narrative for Quarterly Report

Do Not Submit As Initial Outcomes Plan  
Fill In Answers After Each Question  
Submit A New Narrative Each Quarter

During the past Quarter:

1. What were your agency's major accomplishments towards achieving the performance targets and milestones established for this program? What activities proved to be especially effective?
2. In reviewing the Scope of Services for this program, which components of the Scope has your agency successfully implemented or achieved? Which components are you having difficulty implementing or achieving? Why?
3. What problems did this program have to deal with, in terms of staffing, program planning and administration, outcomes monitoring and reporting, communication, youth participation, finances, or communication with the OYS? How were these problems resolved? If the problems were not resolved, what are the plans for resolving these problems?
4. Please provide other comments or observations that will help the OYS understand the progress of this contract at this time?



**Addendum for the 4<sup>th</sup> and 8<sup>th</sup> Quarter Reports**

5. Which performance targets and milestones were achieved, which were not? If performance targets and milestones were not achieved, why not?
6. Please describe any curriculum model or program activity that proved to be especially effective.
7. Can the OYS help you with program design or implementation? How? What changes would you make to program design?
8. What other comments or observations do you have that will help the OYS understand the progress of this contract?

# Request for Revision

This Form 4-1 is being submitted as a Request for Revision of an Outcomes Plan previously submitted and approved. The boldfaced items have been changed in the Outcomes Plan. The changes are described below. Upon OYS approval of all proposed changes, this Form 4-1 becomes the agency's revised Outcomes Plan.

Change Number	Change Is Requested in the Following (Quote Original Language from the Approved Outcomes Plan)	Change Is Requested As Follows (Type in the New Language That Reflects the Requested Change)	Reasons for Requesting the Change
1			
2			
3			

Submitted By: \_\_\_\_\_

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Approved by: Specialist: \_\_\_\_\_  
 Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

If approved, changes are effective as of:  
 Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

**Target Type Codes**

Place the Target Type Number Next to Each Performance Target in Form 4-1.

- No. Brief Description
1. Decreased Arrests (Including Diversion, DMC)
  2. Improved or Increased School Attendance
  3. Improved or Increased Community Service
  4. Education (of Youth)
  5. Improved Self-Esteem
  6. Improved Family, Personal Relationships
  7. Decreased Gang, Delinquency Activity
  8. Improved G.P.A.
  9. Increased Health, Physical Competencies
  10. Increased Personal, Social Competencies
  11. Decreased Substance Abuse
  12. Training (of Adults)
  13. Decreased Violence, Anger
  14. Vocational Education, Training (Youth)

Office of Youth Services  
INSTRUCTIONS FOR FORM 4-1

OYS Form 4-1 is Windows based Microsoft Word document. Providers **must** use either a Windows based Office 97 or higher version to fill in this form. An original and two copies of this document should be submitted to the Office of Youth Services (OYS) by the deadlines indicated in the contract's Scope of Service for outcomes plans, quarterly program reports, One Year Report, or Two Year Report. No deadlines are specified for Requests for Revisions.

Form 4-1 may be submitted as either:

- ☐ **Initial Outcomes Plan.** After this plan has been approved by the OYS, it may not be revised without the consent or approval of the OYS.
- ☐ **Quarterly Program Report** for either the 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup>, 5<sup>th</sup>, 6<sup>th</sup>, or 7<sup>th</sup> Quarter.
- ☐ **One Year Report.** In order to avoid duplication of reports, the One Year Report also functions as a 4<sup>th</sup> Quarter Program Report.
- ☐ **Two Year Report.** In order to avoid duplication of reports, the Two Year Report also functions as an 8<sup>th</sup> Quarter Program Report.
- ☐ **A Request for Revision.** Requested changes in performance targets, milestones, or projections should be boldfaced. The Provider must fill out the request for revision section in Form 4-1. All changes must be approved by the OYS.

OYS Form 4-1 should be completed as follows:

**Instructions:**

Check one box only. Check ☐ 1 if this is the plan for the first targeted group of youth, ☐ 2 if this is the plan for a second target group you will be serving. To check a box, double click on the box, and select the "checked" option.

Type in the contract number.

Type in full agency name (as obtained from your contract).

Type in the contract start date.

Type in the contract end date. If the end date has been revised via a supplemental agreement, use the new end date.

Check this box if Form 4-1 is being submitted as the initial outcomes plan. Once this plan is approved, it may not be revised without the consent of the OYS.

Form 4-1 should be submitted as a quarterly program report for any of the indicated quarters (check one). The 4<sup>th</sup> and 8<sup>th</sup> quarters are not listed because a One Year Report is submitted at the end of the 4<sup>th</sup> quarter, or a Two Year Report at the end of the 8<sup>th</sup> Quarter.

Form 4-1 may be submitted as as One Year Report or a Two Year Report (check one).

Check this box if Form 4-1 is being submitted as a Request for Revision in performance targets, milestones, or projections. **Boldface** any sections that are being revised, then fill out the Request for Revision section of Form 4-1. If Form 4-1 is being submitted as a Request for Revision, it may not also used as either a Initial Outcomes Plan, Quarterly Program Report, or First or Two Year Report.

**Date Submitted** is the date the agency posts this document, **Date Approved** is the date the OYS contract monitor approves the plan, report, or request for revision. The document should be prepared by the agency's program director or executive director, and should be approved by the OYS monitor for this contract. Signatures are required.

**Item from Form 4-1:**

Outcomes Plan Number (Check): <input type="checkbox"/> 1 <input type="checkbox"/> 2
Contract Number: DHS ____ OYS ____
Agency: _____
Contract Start Date: ____/____/____
Contract End Date: ____/____/____

<input type="checkbox"/>	Initial Outcomes Plan (After Approval, May Not Be Revised Without OYS Consent)
<input type="checkbox"/>	Quarterly Program Report for <input type="checkbox"/> 1 <sup>st</sup> <input type="checkbox"/> 2 <sup>nd</sup> <input type="checkbox"/> 3 <sup>rd</sup> <input type="checkbox"/> 5 <sup>th</sup> <input type="checkbox"/> 6 <sup>th</sup> <input type="checkbox"/> 7 <sup>th</sup> Quarter (Check One)
<input type="checkbox"/>	<input type="checkbox"/> One Year Report (4 <sup>th</sup> Quarter) or <input type="checkbox"/> Two Year Report (8 <sup>th</sup> Quarter) (Check One)
<input type="checkbox"/>	A Request for Revision (Boldface Requested Changes)

Date Submitted	Prepared By (Signature)	Date Approved	Approved By (Signature)

Type in the **Age Range** of the youth this plan is targeting, check the **Gender** of the youth targeted, and check all **Ethnicities Targeted**.



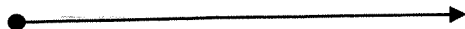
Age Range Targeted (Between 5 – 19 Years)	Ethnicities Targeted (Check One or More)	
_____ To _____  Gender: <input type="checkbox"/> M <input type="checkbox"/> F <input type="checkbox"/> MF	<input type="checkbox"/> All Ethnicities <input type="checkbox"/> American Indian <input type="checkbox"/> Black <input type="checkbox"/> Cambodian <input type="checkbox"/> Caucasian <input type="checkbox"/> Chinese <input type="checkbox"/> Filipino <input type="checkbox"/> Hawaiian (Part, Full) <input type="checkbox"/> Japanese <input type="checkbox"/> Korean <input type="checkbox"/> Laotian <input type="checkbox"/> Marshallese <input type="checkbox"/> Micronesian	<input type="checkbox"/> Mixed (Not Hawaiian) <input type="checkbox"/> Other Asian <input type="checkbox"/> Other Pacific Islander <input type="checkbox"/> Portuguese <input type="checkbox"/> Puerto Rican, Hispanic <input type="checkbox"/> Samoan <input type="checkbox"/> Tongan <input type="checkbox"/> Unknown <input type="checkbox"/> Vietnamese <input type="checkbox"/> Other

Check the **Risk Level Targeted** by Form 4-1. The Risk Level is established in your contract's Scope of Service. *Check only one Risk Level.*



Risk Level Targeted (Check One Only)
<b>Risk Level I</b> <ul style="list-style-type: none"> <li>At-risk for violence, substance abuse, and/or criminal activity due to geographic, ethnic, or socioeconomic factors.</li> </ul>
<b>Risk Level II</b> <ul style="list-style-type: none"> <li>Status offender: Chronically truant, runaway.</li> <li>Involved in gangs, violence, or substance abuse.</li> <li>Experiencing serious family problems.</li> <li>Abused and/or neglected.</li> </ul>
<b>Risk Level III</b> <ul style="list-style-type: none"> <li>Any characteristic of Level II, but also has basic need for food, shelter, clothing, and/or medical treatment.</li> <li>Involved in criminal activity; adjudicated.</li> <li>At risk for out of home placement.</li> <li>At risk for secure confinement.</li> </ul>
<b>Risk Level IV</b> <ul style="list-style-type: none"> <li>Chronic serious offender requiring secure confinement for safety of public and of self.</li> </ul>

Check one or more **Service Areas** being targeted by Form 4-1.



<input type="checkbox"/> State (All Islands) <input type="checkbox"/> Oahu (All) <input type="checkbox"/> Oahu: Central <input type="checkbox"/> Oahu: Honolulu <input type="checkbox"/> Oahu: Leeward <input type="checkbox"/> Oahu: Windward  <input type="checkbox"/> Hawaii (All) <input type="checkbox"/> Hawaii: Hamakua <input type="checkbox"/> Hawaii: Kohala, Waimea <input type="checkbox"/> Hawaii: Konawaena, Kailua-Kona <input type="checkbox"/> Hawaii: Keeau, Pahoia <input type="checkbox"/> Hawaii: Naalehu, Kau	<input type="checkbox"/> Kauai (All) <input type="checkbox"/> Kauai: Kokee, Hanalei, Kilauea <input type="checkbox"/> Kauai: Waimea, Koloa, Niihau  <input type="checkbox"/> Maui (All) <input type="checkbox"/> Maui: Lahaina, Waihee <input type="checkbox"/> Maui: Wailuku, Kahului, Kihei <input type="checkbox"/> Maui: Kula, Haiku, Makawao <input type="checkbox"/> Maui: Keanae, Hana, Pala <input type="checkbox"/> Maui: Lanai <input type="checkbox"/> Maui: Molokai
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# **Performance Targets & Milestones: Report (Unduplicated Count by Quarters)**

Required basic **Performance Targets (PT)** may be found in the contract's Scope of Services. Type in the **PT** and **PT Type** into the appropriate cells in this table. PT Types are listed at the end of Form 4-1.

Fill in the milestones a- h for each **PT**. **Milestones** are the major steps, described in measurable youth behaviors, that indicate that the youth is on the road toward achieving a particular **Performance Target**. Milestone e. is a rearticulation of the **PT**.

Milestones are measured by how many youth reach the levels of participation or performance. For each quarter, project (P) how many youth, unduplicated count, will reach each milestone quarter by quarter (for eight quarters), then total these to determine a **One Year Goal** and a **Two Year Goal**. (If youth are being carried from a previous contract with OYS, then plug their numbers into the **Carryover** column for the first column only. In subsequent, the numbers of carryovers will be merged with the numbers for non-carryover youth. Then quarter by quarter, fill in the **Actual (A)** numbers, unduplicated count, achieving each milestone. The **Year Actual To Date** and **Two Year Actual To Date** should be updated.

Youth released from the program should be accumulated in the **Releases To Date**. Releases are registrants who are No Shows, Released for Misconducts, Dropouts, or Transferees/Referreds. Do not release youths who complete the program. This figure should be updated each quarter with new releases.

Performance Target & Milestones		1st		One Year		Quarter		Two Year			
1	Performance Target:	Carryovers	P	A	Year Goal	YTDActual	P	A	Two Year Goal	2YTDActual	Release To Date
	PT Type:										
a.	Milestone										
b.											
h.											

The **Narrative for Quarterly Program Report** is submitted as part of each **Quarterly Program Report (QPR)**. If the **QPR** is a report for either the 4<sup>th</sup> quarter or the 8<sup>th</sup> quarter, the questions in the **Addendum for the 4<sup>th</sup> and 8<sup>th</sup> Quarter Reports** are also answered, allowing Form 4-1 to then function as an annual report.

Because the **Narrative** is embedded in a Microsoft Table, longer paragraphs will cause the table to shift automatically to a following page.

During the past Quarter:

- What were your agency's major accomplishments towards achieving the performance targets and milestones established for this program? What activities proved to be especially effective?
- In reviewing the Scope of Services for this program, which components of the Scope has your agency successfully implemented or achieved? Which components are you having difficulty implementing or achieving? Why?
- What problems did this program have to deal with, in terms of staffing, program planning and administration, outcomes monitoring and reporting, communication, youth participation, finances, or communication with the OYS? How were these problems resolved? If the problems were not resolved, what are the plans for resolving these problems?
- Please provide other comments or observations that will help the OYS understand the progress of this contract at this time?

## **Addendum for the 4<sup>th</sup> and 8<sup>th</sup> Quarter Reports**

- Which performance targets and milestones were achieved, which were not? If performance targets and milestones were not achieved, why not?
- Please describe any curriculum model or program activity that proved to be

especially effective.

7. Can the OYS help you with program design or implementation? How? What changes would you make to program design?
8. What other comments or observations do you have that will help the OYS understand the progress of this contract?

**For technical assistance, please call the OYS Hotline at (808) 587-5713.**

## WEBSITE RESOURCES

### **Safe and Drug-Free Schools Program**

<http://www.ed.gov/about/offices/list/osdfs/index.html>

### **Community Anti-Drug Coalitions of America (CADCA)**

[www.CADCA.org](http://www.CADCA.org)

### **Centers for Disease Control and Prevention (CDC)**

<http://www.cdc.gov>

CDC, Division of Adolescent and School Health

<http://www.cdc.gov/nccdphp/dash/yrbs/ov.htm>

### **Coalition for a Drug-Free Hawaii**

[www.drugfreehawaii.org](http://www.drugfreehawaii.org)

### **Community Toolbox**

<http://ctb.ku.edu/>

### **Development Services Group**

Home page

<http://www.dsgonline.com/index.html>

Title V Community Prevention Grants Program

### **Helping America's Youth**

<http://www.helpingamericasyouth.gov/>

### **National Clearinghouse for Alcohol and Drug Information (NCADI)**

<http://www.health.org>

### **National Criminal Justice Reference Service**

Home page (then click sidebar "Juvenile Justice")

<http://www.ncjrs.gov/index.html>

National Criminal Justice Reference Service (Youth "Risk & Protective Factors")

<http://www.ncjrs.gov/App/Topics/Topic.aspx?topicid=136>

National Criminal Justice Reference Service ("Comprehensive Approaches to Gang Problems")

[http://www.ncjrs.org/html/ojjdp/summary\\_2000\\_8/comprehensive.html](http://www.ncjrs.org/html/ojjdp/summary_2000_8/comprehensive.html)

### **National Youth Anti-Drug Media Campaign**

[www.mediacampaign.com](http://www.mediacampaign.com)

### **National Youth Development Information Center**

<http://www.nydic.org/nydic/toolkits/index.htm>

### **National Youth Violence Prevention Resource Center**

<http://www.safeyouth.org/scripts/index.asp>

### **OJJDP Model Programs Guide**

[http://www.dsgonline.com/mpg2.5/mpg\\_index.htm](http://www.dsgonline.com/mpg2.5/mpg_index.htm)

(See also "Related Links" for other useful sites)

### **Parents, the Anti-Drug**

[www.TheAntiDrug.com](http://www.TheAntiDrug.com)



**National Center for Education Statistics**

Home page

<http://nces.ed.gov/index.asp>

National Center for Education Statistics ("Indicators of School Crime and Safety")

[http://nces.ed.gov/pubs2005/crime\\_safe04/references.asp](http://nces.ed.gov/pubs2005/crime_safe04/references.asp)

**Positive Youth Development (by Channing Bete Company)**

About Risk and Protective Factors

<http://www.channing-bete.com/positiveyouth/pages/rpfactors/rpfactors.html>

**Search Institute**

[www.search-institute.org](http://www.search-institute.org)

**University of Hawaii, Center on the Family**

[www.uhfamily.hawaii.edu](http://www.uhfamily.hawaii.edu)

**U.S. Dept. Health & Human Services, Substance Abuse and Mental Health Services Administration**

<http://modelprograms.samhsa.gov>

Family Guide to Keeping Youth Mentally Healthy and Drug Free

[www.family.samhsa.gov](http://www.family.samhsa.gov)

**Western Regional Center for the Application of Prevention Technologies**

Best and Promising Practices – Guide to Building Successful Prevention Program

<http://unr.edu/westcapt>

**Youth Violence: A Report of the Surgeon General**

<http://www.surgeongeneral.gov/library/youthviolence/toc.html>